APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED January 30, 2006	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION

Application
- ☐ Construction
- ☒ Non-Construction

Pre-Application
- ☐ Construction
- ☐ Non-Construction

5. APPLICANT INFORMATION

Legal Name: ABC Corporation

Organizational Unit:

Address *(give city, county, state, and zip code)*:

123 ABC Street
Golden
Jefferson County
Colorado 80401-3393

Name and telephone number of the person to be contacted on matters involving application *(give area code)*

Mr. Business Officer, (303) 275-1234,
business.officer@abccorp.com

6. EMPLOYER IDENTIFICATION NUMBER *(EIN)*:

1 1 – 1 1 1 1 1 1 1

7. TYPE OF APPLICANT: *(enter appropriate letter in box)* M

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School Dist.
I. State Controlled Institution of Higher Learning
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N. Other (Specify)

8. TYPE OF APPLICATION:

☒ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es):

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other *(specify)*:

9. NAME OF FEDERAL AGENCY:

Department of Energy

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

8 1 – 0 8 6

TITLE: Conservation Research and Development

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

Energy Efficiency Research Project
[Insert your project title here]

12. AREAS AFFECTED BY PROJECT *(cities, countries, states, etc.)*

Golden, CO
Denver, CO

13. PROPOSED PROJECT:

Start Date	Ending Date
03/30/2006	03/29/2007

14. CONGRESSIONAL DISTRICTS OF:

a. Applicant	b. Project
6th District (Golden)	6th District (Golden); 1st District (Denver)

15. ESTIMATED FUNDING:

a. Federal	$685,828.00
b. Applicant	$171,457.00
c. State	0
d. Local	0
e. Other	0
f. Program Income	0
g. TOTAL	$857,285.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:
DATE

b. NO. ☒ PROGRAM IS NOT COVERED BY E.O. 12372
☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ Yes If "Yes," attach an explanation. ☒ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHEDASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Typed Name of Authorized Representative	b. Title	c. Telephone Number
Robert ABC	President, ABC Corporation	(303) 275-1000

d. Signature of Authorized Representative	e. Date Signed
Robert ABC (original should be signed by authorized representative)	January 30, 2006

Applicant Name: ABC Corporation   Award Number: DE-FG36-06GO16999

Budget Information - Non Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds: Federal (c)	Estimated Unobligated Funds: Non-Federal (d)	New or Revised Budget: Federal (e)	New or Revised Budget: Non-Federal (f)	New or Revised Budget: Total (g)
1. Energy Research Project	81.086			$685,828	$171,457	$857,285
2.						$0
3.						$0
4.						$0
5. Totals		$0	$0	$685,828	$171,457	$857,285

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity: (1) Energy Research Project	(2)	(3)	(4)	Total (5)
a. Personnel	$312,500				$312,500
b. Fringe Benefits	$69,656				$69,656
c. Travel	$14,480				$14,480
d. Equipment	$30,500				$30,500
e. Supplies	$13,245				$13,245
f. Contractual	$106,350				$106,350
g. Construction	$0				$0
h. Other	$0				$0
i. Total Direct Charges (sum of 6a-6h)	$546,731				$546,731
j. Indirect Charges	$310,554				$310,554
k. **Totals** (sum of 6i-6j)	$857,285				$857,285
7. Program Income	$0	$0	$0	$0	$0

Previous Edition Usable

SF-424A (Rev. 4-92)
Prescribed by OMB Circular A-102

PF20
(4/6/05)

U.S. DEPARTMENT OF ENERGY
PROJECT MANAGEMENT CENTER

COST REASONABLENESS DETERMINATION FOR FINANCIAL ASSISTANCE

Applicant:	ABC Corporation	Award/Application Number:	DE-FG36-06GO16999
Project Title:	Energy Efficiency Research Project [Insert your project title here]		
Date of Submission:	November 25, 2005		

INFORMATION REQUESTED ON THIS FORM MAY BE PROVIDED IN THE RECIPIENT'S FORMAT OR INCLUDED ON THIS FORM.

THE TOTAL BUDGET MUST INCLUDE TOTAL PROJECT COSTS [DOE REQUESTED FUNDS PLUS APPLICANT AND THIRD PARTY PARTICIPANT (TEAM MEMBER(S)) COST SHARE AMOUNT]. The purpose of this form is to explain cost reasonableness for, and justify project costs identified on Form SF424A, including Federal (DOE), Non-Federal (Applicant), and all cost share amounts, such as third party cost share. Applicants should complete a GO-PF20 Form or equivalent and include details of all SF424A budget items that will be expended and recorded through their budget office or be directly attributed to their organization through in-kind services. In addition, each sub-participant with costs over the dollar threshold identified in the Contractual section (1.f.) of this form, shall fill out a GO-PF20 Form or equivalent that includes details of all SF424A budget items that will be expended and recorded through their budget offices or be directly attributed to their organization through in-kind services.

SUMMARY OF BUDGET CATEGORY COSTS PROPOSED

CATEGORY	CATEGORY COSTS (ALL YEARS)	% of Total Project Costs	PF-20 SECTION	THRESHHOLD FOR REQUIRED COST DETAIL	COST DETAIL PROVIDED? (CHECK BOX OR MARK "N/A")
Personnel	$312,500	36.5%	1.a.	*ALL VALUES*	√
Fringe Benefits	$69,656	8.1%	1.b.	*ALL VALUES*	√
Travel	$14,480	1.7%	1.c.	Travel costs ≥15% of the total project costs, *or* $25K, whichever is greater	N/A - Below threshold
Equipment	$30,500	3.6%	1.d.	*ALL VALUES* For acquisition costs > $50K, also provide vendor quote/catalog price list	√
Supplies	$13,245	1.5%	1.e.	Supplies ≥20% of the total project costs, *or* $25K, whichever is greater	N/A - Below threshold
Contractual	$106,350	12.4%	1.f.	Individual subawards with total project costs, incl. cost share, of $100,000, *or* ≥50% of the total project costs, incl. cost share, whichever is less.	√
				Federal Research and Development Centers (FFRDCs) - *ALL VALUES*	**N/A**
Construction	$0	0	1.g.	N/A (see Section 1.g.)	N/A
Other Direct Costs	$0	0	1.h.	Other Direct Costs ≥20% of the total project costs, *or* $25K, whichever is greater	**N/A**
Indirect Charges	$310,554	36.2%	1.i.	*ALL VALUES*	√
Total Project Costs	**$857,285**	**100.0%**			

Applicants are not required to submit cost detail for items below the thresholds established; however, each category below should, at a minimum, capture total costs requested.

1. **BUDGET INFORMATION**

LIST ONLY THE APPLICANT'S PORTION OF COSTS IN ALL SECTIONS EXCEPT FOR SECTION 1.f. (Contractual), WHICH SHOULD INCLUDE ALL COSTS FROM OTHER PARTICIPANTS.

a. **PERSONNEL** - List costs solely for employees of the Applicant. All other Participant (third party) personnel costs must be included under Contractual (Section 1.f. below, and on Form SF424A, Section B, line 6.f. Contractual).

Identify positions to be supported, under the proposed award. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the amounts of time (e.g., hours or % of time) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., actual salary, labor distribution report, technical estimate, state civil service rates, etc.).

Title/Group	Time X	Pay Rate =	(Total Compensation)	Rate Basis
[Example] Sr. Engineer	*250 hrs*	*$50/hr*	*$12,500*	*Actual Salary*
Principal Engineer	2000	$40/hr	$80,000	Actual Salary (see note)
Lead Engineer	1607	$35/hr	$56,245	Actual Salary (see note)
Engineer	1250	$35/hr	$43,750	Actual Salary (see note)
Technician	1250	$30/hr	$37,500	Actual Salary (see note)
Technician	1250	$30/hr	$37,500	Actual Salary (see note)
Project Manager	1916.83	$30/hr	$57,505	Actual Salary (see note)
TOTAL PERSONNEL COSTS: $312,500				

Note: Salary does NOT include benefits or overhead costs.

To add more rows, highlight one or more rows, click on "Copy", place the cursor under the last row, then click on "Paste".

b. **FRINGE BENEFITS** – RATE APPLIED: 22.289% TOTAL FRINGE REQUESTED: $69,656
A Federal Fringe Benefit Rate Agreement or proposal is required if reimbursement for Fringe Benefits is requested. Please check one of the boxes below and provide the requested information. Calculate the Fringe Rate and enter the total amount in Section B, Line 6b ("Fringe Benefits") of Form SF-424A.

☐ If a fringe benefit rate has been negotiated with, or approved by, a Federal Government agency, provide a copy of the latest rate agreement.

☒ If you do not have a current approved rate agreement, submit a proposal with your application based on a budget (new entities), or based on the total fiscal year fringe benefit account expenses (e.g. payroll taxes, insurances, holiday & vacation pay, bonuses) and their associated costs. Identify the total labor cost base used for allocating these fringe benefit expenses. A Sample Rate Proposal, GO-PF20b, is available on Golden Field Office: Application Forms.

c. **TRAVEL** – If the total Travel Cost is **equal to or greater than 15% of the total project costs, or $25,000, whichever is greater,** please provide detail as follows, identifying total Foreign and Domestic Travel as separate items.

1. Are travel costs governed by organizational travel policies? ☒ Yes ☐ No

2. For all travel, provide information in the tables below. Purpose of travel are items such as professional

conferences, DOE sponsored meetings, project mgmt, etc. The Basis for Estimating Cost are items such as past trips, current quotations, Federal Travel Regulations, etc.

(i.) Domestic Travel Costs:

Purpose of travel	No. of Travelers	Basis for estimating costs	Cost per Trip
Site Visit for R&D X 2 trips	2	Historical costs	$1078 per trip/per person
DOE Program Mgt Mtg X 1 trip	2	Historical costs	$1078 per trip/per person
Sub Recipient Mtg X 1 trip	2	Historical costs	$772 per trip/per person
Site Visit for R&D X 3 trips	2	Historical costs	$1078 per trip/per person
TOTAL DOMESTIC TRAVEL COSTS: $14,480			

Note: $1078 includes plane ticket ($750), car rental ($78), 2 days per diem ($125 per day).

(ii.) Foreign Travel Costs: None

Purpose of travel	No. of Travelers	Destination	Basis for estimating costs	No. of Days	Cost per Trip
TOTAL FOREIGN TRAVEL COSTS: $					

d. **EQUIPMENT** - Generally defined as an item with an acquisition cost greater than $5,000 and a useful life expectancy of more than one year. Further definitions can be found at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html.

List all of the proposed equipment below, providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying its need as it applies to the Statement of Objectives. **For equipment costs greater than $50,000, also include a copy of the associated vendor quote or catalog price list.**

Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Energy Test Set	1	$15,250	$15,250	Invoice	Test set required to measure energy levels of tests in lab.
Energy Test Set	1	$15,250	$15,250	Quote	Test set required to measure energy levels of tests in lab.
TOTAL EQUIPMENT COSTS: $30,500					

e. **SUPPLIES** - Generally defined is an item with an acquisition cost of $5,000 or less and a useful life expectancy of less than one year. Further definitions can be found at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html.

If the total supply costs are **greater than 20% of the total project costs, or $25,000, whichever is greater,** please provide the detail below, identifying the basis of cost, such as vendor quotes, catalog prices, prior invoices, etc.

General category of supplies	Qty	Unit Cost	Total Cost	Basis of cost	Justification of need
Test Feedstock	6 units	$2207.50	$13,245	Quote	Need feedstock to test energy process in the lab.
TOTAL SUPPLY COSTS: $13,245					

f. **CONTRACTUAL** – 10 CFR 600, Sections 144 and 331, sets forth standards for use by recipients in establishing procedures for the procurement of supplies and other expendable property, equipment, and other services with Federal funds.

1. Unless otherwise notified by DOE, **Participants (individual subawards), other than DOE Federally Funded Research and Development Centers (FFRDCs), with total project costs, including cost share, greater than or equal to $100,000, or greater than or equal to 50% of the total project costs, including cost share (whichever is less),** must provide (i) a Statement of Work (if not previously set forth in the Applicant's application), (ii) a Form SF424A - Budget Information-Non-Construction Program, and (iii) GO-PF20 or equivalent. Proposed Participants (individual subawards) with total estimated costs beneath the threshold cited above do not submit aforementioned cost detail.

   For DOE FFRDC Participants being proposed in an Application, provide written authorization from the cognizant contracting officer regarding the use of a DOE FFRDC contractor on the proposed project. The following wording is acceptable for this authorization.

   "Authorization is granted for the ____________ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complimentary to the missions of the laboratory, will not adversely impact execution of the DOE assigned programs at the laboratory, and will not place the laboratory in direct competition with the domestic private sector."

   If the project is selected for award, provide a Field Work Proposal, along with the FFRDC labor mix and hours, by category and FFRDC major purchases greater than $25,000, including Quantity, Unit Cost, Basis of Cost, and Justification.

2. Applicant is to maintain a Cost/Price analysis on **all** Participants that justifies the allowability and reasonableness of total costs as determined by the applicable Federal Cost Principles.

3. For support for which a Participant has not been identified, provide a scope of work and a basis of the cost estimate.

List all Participant costs, including their cost share, in the applicable box below. Go to the following website for further information: http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html.

Subrecipients: List all participants, including FFRDCs, providing research and development services used in furthering the project, and indicate the purpose of each organization's participation and the total estimated costs for each. [NOTE: Subrecipients are not entitled to fee.]

Name/Organization	Purpose	Total Estimated Costs
XYZ Corporation	Verification tests	$106,350
NOTE: Separate Statement of Project Objectives, SF 424A, and PF20 must be provided since they are above the threshold listed in Paragraph f.1. above.		
TOTAL PARTICIPANT COSTS: $106,350		

2. Vendors: List all vendors supplying commercial supplies or services used to support the project.

Name/Organization	Supply or Service Provided	Total Estimated Costs
None		
TOTAL VENDOR COSTS: $		

g. CONSTRUCTION - Construction, for the purpose of budgeting, is defined as all types of work done on a particular building, including erecting, altering, or remodeling. ***If real property construction is contemplated under this project, special instructions will be provided.***

h. OTHER DIRECT COSTS - Other direct costs are items of cost required for the specific project (such as meeting costs, postage, couriers or express mail, telephone/fax costs, printing costs, etc.), that cannot be properly included in the above categories.

Provide the information below for other direct costs that **are greater than or equal to 20% of the total project costs or $25,000, whichever is greater.** Basis of cost are items such as vendor quotes, prior purchases of similar or like items, published price list, etc.

General description	Cost	Basis of cost	Justification of need
None			
TOTAL OTHER DIRECT COSTS: $			

i. INDIRECT COSTS – RATE APPLIED: **See Table below and rate proposal.**
TOTAL INDIRECT COSTS REQUESTED: **$310,554**

A Federal Indirect Rate Agreement or proposal is required if reimbursement for indirect costs is requested. Please check one of the boxes below and provide the requested information. Calculate the Indirect Rate(s) and enter the total amount in Section B, line 6j ("Indirect Charges") of Form SF-424A.

☐ If indirect rates have been negotiated with, or approved by, a Federal Government agency, please provide a copy of the latest rate agreement.

☒ If you do not have a current approved rate agreement, submit an indirect cost rate proposal with your application that identifies each base used to develop the indirect rate and indirect pool expense accounts by line item and dollar amount. These should be based on total fiscal year costs or budget (new entities). Explain each base used and the amount applied to develop each indirect rate per pool and identify the rate developed. "Overhead Pool" or "General & Administrative Pool" are common indirect pools. A sample rate proposal, GO-PF20b, is available on Golden Field Office: Application Forms.

INDIRECT RATE	BASE	INDIRECT COSTS
Overhead: 37.179%	Personnel ($312,500) and Fringe Benefits ($69,656)	$142,083
G&A: 28.923%	Total Direct Costs ($546,731) Less Contractual (-106,350), Plus Overhead ($142,983)	$168,471
	TOTAL INDIRECT COSTS:	**$310,554**

2. ADDITIONAL INFORMATION

COST SHARE

A detailed estimate of the cash or in-kind cash value (basis of and nature, i.e., equipment, labor, facilities, cash, etc.) of all contributions/cost share of the project by each participant must be provided. Identify the source & amount of cost sharing proposed by the Applicant and each Participant and the total amount of cost share as a percent of the total cost of the project. Note that "cost-sharing" is not limited to cash investment. In-kind contributions (e.g., contribution of services or property; donated equipment, buildings or land; donated supplies; or unrecovered indirect costs) incurred as part of the project may be considered as all or part of the cost share. The "cost-sharing" definition is contained in 10 CFR 600.30, 600.101, 600.123, 600.224, 600.302, 600.313 and OMB Circular A-110. Funds from other Federal sources cannot be counted as Recipient cost share. Non-Federal sources include private, state or local Government, or any sources that were not originally derived from Federal funds.

Organization/Source	Item	Amount	Type (cash, in-kind, etc.)
ABC Corporation	Personnel	$45,000	Cash
ABC Corporation	Equipment	$15,250	In-kind
ABC Corporation	Supplies	$13,245	Cash
ABC Corporation	Indirect Costs	$47,862	Cash
XYZ Corporation	Personnel	$50,000	Cash
TOTAL COST SHARE: $171,457			

Total Project Cost:	$857,285	Cost Share Amount:	$171,457	Cost Share Percent of Total Award:	20%

1. For each cost share contribution identified as an ***in-kind*** contribution, identify the items and describe how the value of the in-kind contribution was derived.

   Equipment Test Set will be used for the in-kind contribution of cost share. The fair market value of the test is used as the basis of the contribution (invoice available to show test set costs).

2. NOTE: You are reminded that firm funding commitments are expected and documentation of those commitments must be included in the application. Additionally, the impact of DOE's cost share to the viability of the project must be addressed, to include justification of the need for Federal Funds. See Funding Opportunity Announcement for details.

GENERAL NOTE: Fee or profit will not be paid to the recipients of financial assistance awards or Subrecipients. Additionally, foregone fee or profit by the applicant shall not be considered cost sharing under any resulting award. Reimbursement of actual costs will only include those costs that are allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127, 10 CFR 600.312 or 10 CFR 600.318.

SCHEDULE A

SUMMARY OF CLAIMED INDIRECT EXPENSE RATES
FISCAL YEAR ENDED 9/30/00

Description	Amount	Reference
General and Administrative:		
Pool	242,675.28	Schedule B
Base	839,013.28	Schedule E
Claimed G&A Rate	**28.9239%**	
Overhead:		
Pool	173,036.54	Schedule C
Base	465,412.21	Schedule E
Claimed O/H Rate	**37.1792%**	
Fringe		
Fringe Benefits & Payroll Taxes	$ 106,798.62	Schedule L & B
Net/Billable Salary	$ 479,140.79	Schedule L
Fringe Costs/Net Salary=Fringe Rate	**22.2896%**	

NOTE: This Fringe Benefit and Indirect Rate Proposal is one example of a rate proposal.
Another type of rate proposal is shown with the sub-recipient XYZ Corporation sample application.

Schedule B

GENERAL AND ADMINISTRATIVE (G&A) EXPENSES
FISCAL YEAR ENDED 9/30/00

Acct No.	Accounts	Expenses per G/L	Adjustm'ts	Claimed Costs	Notes
6105	Advertising & Promotion	11,074.24	11,074.24	-	
6110	Automobile Expense	919.70		919.70	
6115	Bank Service Charge	876.28		876.28	
6125	Contributions & Donations	1,095.00	1,095.00	-	
6127	Computer Expense	4,328.79		4,328.79	
6130	Depreciation & Amortization	8,218.00		8,218.00	
6135	Dues & Subscription	647.68	647.68	-	
6146	Equipment Leasing	741.86		741.86	
6150	Insurance	8,000.19		8,000.19	
6172	Interest Expense	16,446.24	16,446.24	-	
6204	Office Cleaning	2,183.00		2,183.00	
6205	Office Expense	7,476.49		7,476.49	
6210	Parts	-		-	
6220	Postage, Delivery & Freight	2,569.94		2,569.94	
6230	Printing & Reproduction	261.82		261.82	
6250	Professional Fees	127,910.98	67,954.22	59,956.76	
6290	Rent	11,352.00		11,352.00	
6300	Repairs & Maintenance	1,881.42		1,881.42	
6310	Shop Supplies	61.01		61.01	
6320	Taxes & Licenses	3,479.71		3,479.71	
6340	Telephone	2,740.47		2,740.47	
6345	Tools	-		-	
6350	Travel Expenses	28,027.76	6,816.32	21,211.44	
6390	Utilities	2,752.96		2,752.96	
6550	Salaries & Wages	84,768.81		84,768.81	
	Fringe .222896			18,894.63	
	TOTAL G&A POOL COSTS	327,814.35	104,033.70	242,675.28	
	FRINGE POOL				
6551	Holiday Pay	23,606.40		23,606.40	
6552	Sick Leave	10,259.76		10,259.76	
6553	Vacation Leave	32,044.12		32,044.12	
6515	FICA	35,149.48		35,149.48	
6520	FUTA	486.23		486.23	
6525	SUI	5,165.07		5,165.07	
6530	NV Business Tax	87.54		87.54	
	TOTAL FRINGE POOL COSTS	106,798.60		106,798.60	

Schedule C

OVERHEAD EXPENSES
FISCAL YEAR ENDED 9/30/00

Acct No.	Accounts	Expenses Per G/L	Adjustm'ts	Claimed Costs	Notes
6105	Advertising & Promotion	167.30		167.30	Recruiting
6110	Automobile Expense	8,377.56		8,377.56	
6115	Bank Service Charge	-		-	
6127	Computer Expense			-	
6135	Dues & Subscription			-	
6146	Equipment Leasing	11,734.48		11,734.48	
6150	Insurance	3,470.63		3,470.63	
6172	Interest Expense	-		-	
6204	Office Cleaning	-		-	
6205	Office Expense	404.84		404.84	
6220	Postage, Delivery & Freight	253.87		253.87	
6230	Printing & Reproduction	-		-	
6250	Professional Fees	36,832.93	28,181.00	8,651.93	
6290	Rent	34,056.00		34,056.00	
6300	Repairs & Maintenance	1,850.88		1,850.88	
6310	Shop Supplies	70,729.13		70,729.13	
6320	Taxes & Licenses	-		-	
6340	Telephone	3,873.24		3,873.24	
6345	Tools	2,525.47		2,525.47	
6350	Travel & Ent	2,910.39		2,910.39	
6390	Utilities	7,167.11		7,167.11	
6550	Salaries & Wages	13,789.98		13,789.98	
	Fringe on Labor			3,073.73	
	TOTAL OVERHEAD POOL	$ 198,143.81	$ 28,181.00	$ 173,036.54	

CLAIMED ALLOCATION BASES
FISCAL YEAR ENDED 9/30/00

Description		Claimed Costs	Notes
Overhead Base:			
DIRECT LABOR & FRINGE		465,412.21	Schedule H
Total Direct Labor Base	$	465,412.21	
G&A Base:			
Total Direct Costs	$	691,248.70	Schedule H
Less subs, consultants	$	(25,271.95)	Schedule H
Overhead	$	173,036.53	Schedule H
Total Cost Input G&A Base	$	839,013.28	

Schedule G

RECONCILIATION OF BOOKS OF ACCOUNT
AND CLAIMED COST SUBMISSION
FISCAL YEAR 9/30/00

DESCRIPTION		AMOUNT CLAIMED		UNALLOW & ADJUSTMENTS		AMOUNTS PER Submission	Year End Financial Statements
*Direct Costs:							
Direct Labor	$	380,582.00		0	$	380,582.00	
Travel	$	31,762.18		0	$	31,762.18	
Material	$	145,893.86		0	$	145,893.86	
Other Direct Costs	$	48,180.45		0	$	48,180.45	
Subcontracts	$	-		0			
Total Direct Costs	$	606,418.49	$	-	$	606,418.49	
						(Sched.H)	
Indirect Costs							
Overhead Pool Costs		169,962.81		28,181.00		198,143.81	
G&A Pool Costs		223,780.65		104,033.70		327,814.35	
Fringe Pool Costs		106,798.00				106,798.00	
TOTAL COSTS	$	1,106,959.95	$	132,214.70	$	1,239,174.65	1239175.25

Schedule H

SCHEDULE OF DIRECT COSTS BY CONTRACT/SUBCONTRACT
AND INDIRECT EXPENSE APPLIED AT CLAIMED RATES
FISCAL YEAR ENDED 9/30/00

		Proj. A	Proj. B	Proj. C	Proj. D	Proj. E	Proj. F	Proj. G	Proj. H	Proj. I	Proj. K	Proj. L	Proj. M	Proj. N	Proj. O	Proj. P	Proj. Q	Total Direct Costs
Expense																		
6110 · Automobile Expense		0.00	0.00	625.00	0.00	0.00	453.24	0.00	0.00	0.00	743.62	44.50	0.00	364.68	0.00	0.00	39.00	2,269.04
6127 · Computer Expenses		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	786.02	0.00	0.00	0.00	0.00	0.00	786.02
6146 · Equipment Leasing		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	235.76	0.00	0.00	0.00	0.00	0.00	235.76
6150 · Insurance		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	3,605.28	0.00	24.15	0.00	0.00	0.00	3,629.43
6204 · Office Cleaning		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	400.00	0.00	0.00	0.00	0.00	0.00	400.00
6205 · Office Expense		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	929.23	56.31	572.82	0.00	0.00	0.00	1,558.36
6210 · Parts		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	166.97	0.00	544.50	0.00	711.47
6220 · Postage, Delivery & Freight		396.70	519.44	0.00	0.00	0.00	704.09	0.00	15.39	0.00	0.00	144.04	442.84	1,640.90	0.00	386.39	8.97	4,259.76
6250 · Professional Fees	*Not included in G&A BASE*	0.00	215.04	0.00	0.00	0.00	1,407.91	0.00	0.00	18,679.40	0.00	1,500.00	1,619.60	1,850.00	0.00	0.00	0.00	25,271.95
6300 · Repairs & Maintenance		0.00	4,399.95	0.00	0.00	392.32	0.00	89.50	0.00	0.00	0.00	0.00	0.00	3,735.39	0.00	0.00	0.00	8,616.16
6310 · Supplies-Shop		3,511.11	16,800.34	2,752.56	2,710.59	2,205.26	12,337.29	0.00	0.00	0.00	37,313.50	4,661.26	14,192.21	40,242.49	401.19	8,733.76	32.30	145,893.86
6340 · Telephone		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	138.72	0.00	0.00	0.00	0.00	0.00	138.72
6350 · Travel & Ent		142.10	174.00	322.92	0.00	0.00	0.00	0.00	0.00	0.00	0.00	8,130.90	19,279.44	3,712.82	0.00	0.00	0.00	31,762.18
6390 · Utilities		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	301.78	0.00	0.00	0.00	0.00	0.00	301.78
6510 · Salaries & Wages		2309.55	37654.15	8269.76	12356.12	3500.04	28648.35	172.50	429.00	8365.92	89817.31	110595.78	6008.24	53635.23	4739.67	177.50	13702.80	380582.00
Sub Total Expense		6,359.56	59,762.92	11,970.24	15,066.71	6,097.62	43,550.88	262.00	445.39	27,045.32	127,874.43	131,473.25	41,598.84	106,146.45	5,140.86	9,842.15	13,782.07	606,418.49
.222896	Fringe on direct labor	514.81	8392.96	1843.30	2754.13	780.14	6385.60	38.45	95.62	1864.73	20019.92	24651.35	1339.21	11999.66	1056.45	39.56	3054.30	84630.21
Subtotal		6874.37	68155.88	13813.54	17820.84	6877.76	49936.48	300.45	541.01	28910.05	147894.35	156124.60	42937.85	118146.11	6197.31	9881.71	16836.37	691248.70
0.371792	Overhead on direct labor & fringe	1050.11	17119.95	3759.95	5617.87	1591.34	13025.34	78.43	195.05	3803.67	40636.60	50283.79	2731.72	24476.88	2154.95	80.70	6230.16	173038.53
0.289239	G&A on direct costs & ovrhd, less subs & consult	2292.07	24602.90	5082.94	6779.39	2449.60	17803.79	109.59	212.90	4059.27	54588.35	59267.50	12740.97	40717.04	2415.80	2881.52	6671.74	242,675.36
	Indirect Unallowables															Indirect Unallowable Costs		132,214.70
																Financial Statement Expenses		1,239,175.29
	DIRECT TOTALS by Project	10,216.55	109,878.72	22,656.43	30,218.10	10,918.70	80,765.62	488.47	948.96	38,773.00	243,319.30	265,675.90	58,410.55	183,340.03	10,768.07	12,843.94	29,738.26	1,239,175.29

Schedule L

RECONCILIATION OF TOTAL PAYROLL TO TOTAL LABOR DISTRIBUTION
FISCAL YEAR ENDED 9/30/00

DESCRIPTION	EXPENSES PER G/L	
Direct Labor	$ 380,582.00	Schedule H
General Wages and Administrative		
Wages	$ 84,768.81	Schedule B
Holiday Wages	$ 23,606.40	Schedule B
Vacation Wages	$ 32,044.12	Schedule B
Sick Leave	$ 10,259.76	Schedule B
Payroll Taxes		Schedule B
Overhead		
Wages	$ 13,789.98	Schedule C
Holiday Wages	$ -	Schedule C
Vacation	$ -	Schedule C
Sick Leave	$ -	Schedule C
Payroll Taxes		
TOTAL LABOR	$ 545,051.07	
NET BILLABLE LABOR not incl hol,sck,vaca.	$ 479,140.79	

	Total Gross Wages	Total income tax withheld	Soc Sec ER	Soc Sec EE	Med ER	Med EE	FUTA	SUI	NV Bus Tax	Total ER Taxes
1st Quarter	$ 136,824.05	$ 17,112.60	$ 4,136.42	$ 4,136.42	$ 1,918.99	$ 1,918.99		$ 757.12	$ 12.83	$ 6,825.36
2nd Quarter	$ 139,918.44	$ 18,555.40	$ 8,476.55	$ 8,476.55	$ 1,982.42	$ 1,982.42		$ 3,290.78	$ 55.78	$ 13,805.53
3rd Quarter	$ 152,870.53	$ 15,631.00	$ 9,477.98	$ 9,477.98	$ 2,216.63	$ 1,108.32		$ 688.18	$ 11.66	$ 12,394.45
4th Quarter	$ 115,438.05	$ 17,689.00	$ 5,266.66	$ 5,266.66	$ 1,673.85	$ 1,673.85	$ 486.23	$ 428.99	$ 7.27	$ 7,863.00
TOTAL PAYROLL	$ 545,051.07	$ 68,988.00	$ 27,357.61	$ 27,357.61	$ 7,791.89	$ 6,683.58	$ 486.23	$ 5,165.07	$ 87.54	$ 40,888.34
TOTAL PAYROLL TAXES	$ 40,888.34									
	$ 585,939.41									

Fringe benefits & payroll Taxes	$ 106,798.62
Net/billable Salary	$ 479,140.79
Fringe costs/net salary=fringe rate	22.2896%

PF19

(10/05)

U.S. DEPARTMENT OF ENERGY
PROJECT MANAGEMENT CENTER

FINANCIAL ASSISTANCE PRE-AWARD INFORMATION SHEET

ALL INFORMATION REQUESTED ON THIS FORM MUST BE PROVIDED.

Applicant:	**ABC Corporation**	Award/Proposal No.:	**DE-FG36-06GO16999**
Business Officer:	**Mr. Business Officer**	Project Director:	**Dr. Principal Investigator**

A. TYPE OF BUSINESS

The Applicant is a:

☐ Individual ☐ Partnership ☐ For Profit Institution of Higher Education

☐ Small Business ☒ Large Business ☐ State or Local Government or Indian Tribe

If Non Profit – Select one below:

☐ A university or other institution of higher education or an organization of the type described in Section 501(c)(3) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or

☐ An organization of the type described in Section 501(c)(4) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or

☐ An organization of the type described in Section 501(c)(6) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or

☐ A nonprofit scientific or educational organization qualified under a State nonprofit organization statute. Please identify the statute below; or

☐ Other:

Is the Applicant a member of the Federal Demonstration Partnership (FDP)? ☐ Yes ☒ No
A listing of FDP members is available at http://www.thefdp.org/FDP_Members.html.

B. INTELLECTUAL PROPERTY

B.1. Applicants who have checked "Large Business" above have the right to request, in advance or within 30 days after execution of the award, in accordance with applicable statutes and DOE Patent Waiver Regulation (10 CFR 784), a waiver of all or any part of the rights of the United States in Subject Inventions.

If the Applicant intends to request a waiver to such invention rights pursuant to 10 CFR 784, please indicate:

☐ I intend to request an advance waiver in accordance with 10 CFR 784.

☒ I do not intend to request an advance waiver.

B.2. RIGHTS IN APPLICATION DATA

It is DOE policy for an award based on an application that, in consideration of the award, the Government shall obtain unlimited rights in the technical data contained in the application unless the Applicant marks those portions of the technical information which it asserts as "proprietary data" or specifies those portions of such technical data which are not directly related to or will not be utilized in the work to be funded under the award. Accordingly, please indicate:

☒ No restrictions on Government rights in the proposal technical data; or

☐ The following identified technical data is proprietary or is not directly related to or will not be utilized in the work to be funded under the award:

B.3. IDENTIFICATION OF PROPRIETARY TECHNICAL DATA

The Rights in Technical Data clause proposed to be used for this award may not permit the utilization of proprietary data in the performance of this award or, if the use of proprietary data is permitted, may not be adequate to meet programmatic requirements. Use of data which is proprietary may prevent you from meeting the data requirements of the award (including delivery of data). Your attention is particularly drawn to the use of Applicant's PROPRIETARY LICENSED COMPUTER SOFTWARE.

Please indicate that you have reviewed the requirements in the technical scope of work and to the best of your knowledge:

☒ No proprietary data will be utilized in the performance of this award.

☐ Proprietary data as follows will be utilized in the performance of this award:
Proprietary technical data, specifically....

☒ Applicant PROPRIETARY LICENSED COMPUTER SOFTWARE will NOT be utilized in the performance of this award.

☐ Applicant PROPRIETARY LICENSED COMPUTER SOFTWARE as follows will be utilized in the performance of this award:

C. DATA UNIVERSAL NUMBERING SYSTEM (DUNS NUMBER)

Applicant DUNS Number is 123456789 . For assistance in obtaining a DUNS Number, call Dunn & Bradstreet at 1-800-333-0505. The Applicant should be prepared to provide the following information to Dunn & Bradstreet:

(1) Company name.
(2) Company address.
(3) Company telephone number.
(4) Line of business.
(5) Chief executive officer/key manager.
(6) Date the company was started.
(7) Number of people employed by the company.
(8) Company affiliation.

D. INVOICING AND PAYMENTS

1. Is the Applicant currently on ASAP (Automated Standard Application for Payment System)? ☒ Yes
   Recipient's Seven-digit ASAP ID Number is 9876543

   ☐ No

2. Please provide the following contact information for ASAP and/or Payments:

   Primary Payments/ASAP Contact Person: Ms. Finance Contact

   Phone No.: (303) 275-4321 Extension: ________ E-mail: finance.contact@abc.corp.com

CP-4
(06/05)

U.S. DEPARTMENT OF ENERGY
PROJECT MANAGEMENT CENTER

FINANCIAL INFORMATION

ALL INFORMATION REQUESTED ON THIS FORM MUST BE PROVIDED.

Applicant: ABC Corporation

Project Title: Energy Efficiency Research Project

Announcement/Award No: DE-FG36-06GO16999

1. Have you had prior Federal awards? ☒ Yes ☐ No

2. Have you had an outside audit or an A-133 audit? ☒ Yes ☐ No
If yes, please provide a copy of the A-133 or outside audit (electronic preferred).

INFORMATION FOR DETERMINING COGNIZANT AGENCY/OFFICE

3. Applicant's fiscal year end date is June 30th

4a. Identify Cognizant **Federal Agency** (agency providing the preponderance of Federal funding), and provide Agency name, a point of contact, phone number, and e-mail.

Agency: Department of Health & Human Services
Point of Contact: John B. Smith
Phone: (415) 765-4321
E-mail: j.smith@DHHS.gov

4b. To assist our office in validating Cognizant **Federal Agency** (4a), please provide following information for the 5 highest dollar award value for current Federal contracts, grants or awards (do not include sub-awards). (State Agencies and Universities can skip 4b)

Contract/Award #	Awarding Agency	Awarding Office	Start Date	End Date	Total Value
DR-FG99-049999	DHHS	San Francisco	1/1/2004	12/31/2004	$2,500,000
DR-FG99-059999	DHHS	San Francisco	6/30/2005	6/29/2006	$2,000,000
DE-FG36-05GO15999	DOE	Golden Field Office	1/1/2005	12/31/2005	$500,000

5a. If applicant has current DOE awards, identify Cognizant **DOE Office** (office providing the preponderance of DOE funding), and provide DOE office name, a point of contact, phone number, and e-mail.

DOE Office: Golden Field Office
Point of Contact (Contracting Officer): Ann B. Contact
Phone: (303) 275-9999
E-mail: ann.contact@go.doe.gov

5b. To assist our office in validating Cognizant **DOE Office** (5a), please provide following information for the 5 highest dollar value awards for current DOE contracts, grants or awards (do not include sub-awards). (State agencies and Universities can skip 5b)

DOE Contract/Award #	DOE Awarding Office	Start Date	End Date	Total Value
DE-FG36-05GO15999	Golden Field Office	1/1/2005	12/31/2005	$ 500,000

FINANCIAL MANAGEMENT SYSTEM

To qualify for Financial Assistance, compliance with <u>10 CFR 600.121</u>, <u>10 CFR 600.220(b)</u>, or <u>10 CFR 600.311</u> is required.

☐ The Financial Management System is in compliance with 10 CFR 600.121, 10 CFR 600.220(b), or 10 CFR 600.311.

☒ I do not know if my Financial Management System is in compliance with 10 CFR 600.121, 10 CFR 600.220(b), or 10 CFR 600.311. If this block is checked, complete the survey below.

<u>Accounting System Survey</u>

	Yes	No	NA
1. Is your Accounting System in accordance with Generally Accepted Accounting Principles applicable to the circumstances?	☒	☐	☐
2. Accounting System provides for:			
a. Segregation of direct costs from indirect costs.	☒	☐	☐
b. Identification and accumulation of direct costs by project.	☒	☐	☐
c. A logical and consistent method for the allocation of indirect costs to intermediate and final cost objectives. (Project is final cost objective)	☒	☐	☐
d. Accumulation of costs under general ledger control.	☒	☐	☐
e. A timekeeping system that identifies employees' labor by intermediate and final cost objectives.	☒	☐	☐
f. A labor distribution system that charges direct and indirect labor to appropriate cost objectives.	☒	☐	☐
g. Interim (at least monthly) determination of costs charged to a project through routine posting of books of account.	☒	☐	☐
h. Excluding costs charged to Government projects which are not allowable in terms of FAR 31, Contract Cost Principles and Procedures, or other provisions.	☒	☐	☐
i. Identification of costs by project line item and by units (as if each unit or line item were a separate project) if required by the proposed award.	☒	☐	☐
3. Is the Accounting System designed, and are the records maintained in such a manner that adequate, reliable data are developed for use in developing cost proposals?	☒	☐	☐
4. Is the Accounting System currently in full operation?	☒	☐	☐

U.S. DEPARTMENT OF ENERGY

FINANCIAL ASSISTANCE CERTIFICATIONS/ASSURANCES/REPRESENTATIONS WITHOUT EPACT REPRESENTATION

Applicant: **ABC Corporation**

Solicitation No.: **DE-FG36-06GO16999**

The following certifications and assurances must be competed and submitted with each application for financial assistance. The name of the person responsible for making the certifications and assurances must be typed in the signature block on the forms.

Standard Form 424B, Assurances – Non-Construction Programs

DOE F 1600.5, Assurance of Compliance Nondiscrimination in Federally Assisted Programs

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug Free Workplace Requirements

Representation of Limited Rights Data and Restricted Computer Software

SF-LLL Disclosure of Lobbying Activities

Complete the SF-LLL Disclosure of Lobbying Activities only if payment or agreement to make payment has been made to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal action.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant: (Insert **ABC Corporation** Name of Proposer):

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award, and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of O.P.M.'s Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 33601 et seq.), as amended, relating to non discrimination in the sale, rental, or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State Management Program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers systems.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1996, or OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Printed Name and Title of
Authorized Representative: **Robert ABC, President**

SIGNATURE

January 30, 2006
DATE

DOE F 1600.5
(06-94)
All Other Editions are Obsolete

U.S. Department of Energy

Assurance of Compliance

OMB Control No.
1910-0400

Nondiscrimination in Federally Assisted Programs

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1900-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1900-0400), Washington, DC 20503.

ABC Corporation (Hereinafter called the "Applicant")

HEREBY AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L.88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub.L.93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub.L.93-438), Title IX of the Education Amendments of 1972, as amended (Pub.L.92-318, Pub.L.93-568, and Pub.L.94-482), Section 504 of the Rehabilitation Act of 1973 (Pub.L.93-112), the Age Discrimination Act of 1975 (Pub.L.94-135), Title VIII of the Civil Rights Act of 1968 (Pub.L.90-284), the Department of Energy Organization Act of 1977 (Pub.L.95-91), and the Energy Conservation and Production Act of 1976, as amended (Pub.L.94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, the Applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the Department of Energy.

Applicability and Period of Obligation

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

Employment Practices

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment advertising, hiring, layoff or termination, promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

Subrecipient Assurance

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws cited above. To this end, the subrecipient shall be required to sign a written assurance form, however, the obligation or both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

Data Collection and Access to Records

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to, the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, age, and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age, and disability, in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to its obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

DOE F 1600.5
(06-94)
All Other Editions are Obsolete

OMB Control No.
1910-0400

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy, Facilities of the Applicant (including the physical plants, building, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours on request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereto, to the Applicants by the Department of Energy, including installment payments on account after such data of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representation and agreements made in this assurance and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signature appears below and who are authorized to sign this assurance on behalf of the Applicant.

Applicant Certification

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

Designated Responsible Employee

Peter Personnel, Human Resources Director
Name and Title (Printed to Typed)

(303) 275 - 1111
Telephone Number

Signature

January 30, 2006
Date

ABC Corporation
Applicant's Name

(303) 275 - 1000
Telephone Number

123 ABC Street
Address:

January 30, 2006
Date

Golden, CO 80401

Authorized Official:
President, Chief Executive Officer
or Authorized Designee

Robert ABC , President
Name and Title (Printed to Typed)

(303) 275 - 1000
Telephone Number

Signature

January 30, 2006
Date

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILTY MATTERS; AND DRUG FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 10 CFR Part 601 "New Restrictions on Lobbying," 10 CFR Part 606 "Governmentwide Debarment and Suspension (Nonprocurement) and 10 CFR Part 607 "Governmentwide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

2. ADDITIONAL LOBBYING REPRESENTATION

Applicant organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, are not eligible for the receipt of Federal funds constituting an award, grant, or loan.

As set forth in section 3 of the Lobbying Disclosure Act of 1995 as amended, (2 U.S.C. 1602), lobbying activities are defined broadly to include, among other thins, contacts on behalf of an organization with specified employees of the Executive Branch and Congress with regard to Federal legislative, regulatory, and program administrative matters.

Check the appropriate block:

The applicant is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986? ☐ Yes ☒ No

If you checked "Yes" above, check the appropriate block:

The applicant represents that after December 31, 1995 it ☐ has ☒ has not engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.

3. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery. falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub.L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

ALTERNATE I (GRANTEES OTHER THAN INDIVIDUALS)

(1) The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;
(2) The grantee's policy of maintaining a drug-free workplace;
(3) Any available drug counseling, rehabilitation, and employee assistance programs; and
(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and
(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (a),(b),(c),(d),(e), and (f).

(2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance: (Street address, city, county, state, zip code)

1000 EFG Street
Denver, Denver County, Colorado 80200

☐ Check if there are workplaces on file that are not identified here.

ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)

(1) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.

(2) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. SIGNATURE

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Name of Applicant: **ABC Corporation**

Printed Name and Title of
Authorized Representative: **Robert ABC, President**

SIGNATURE

January 30, 2006
DATE

Representation of Limited Rights Data and Restricted Computer Software

(a) Any data delivered under an award resulting from this announcement is subject to the Rights in Data – General or the Rights in Data – Programs Covered Under Special Data Statutes clause (See Intellectual Property Provisions at www.gc.doe.gov/gcmain.html). Under these clauses, the Recipient may withhold from delivery data that qualify as limited rights data or restricted computer software. As an aid in determining the Government's need to include Alternate I and/or Alternate II in these clauses, which allow for delivery of limited rights data and/or restriction computer software, the applicant must complete paragraph (b) below to either state that none of the data involved in the proposed work effort qualify as limited rights data or restricted computer software, or identify, to the extent feasible, which of the data qualifies as limited rights data or restricted computer software. Any identification of limited rights data or restricted computer software in this application is not determinative of the status of such data should an award be made.

(b) The applicant has reviewed the proposed work effort and the requirements for the delivery of data or software and states:

☒ None of the data proposed for fulfilling such requirements qualifies as limited rights data or restricted computer software.

☐ Data proposed for fulfilling such requirements qualify as limited rights data or restricted computer software and are identified as follows:

Note: "limited rights data" and "restricted computer software" are defined in provision "Rights in Data – General."

Approved by OMB
0348-0046

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

<table>
<tr>
<td>1. Type of Federal Action:
___ a. contract
b. grant
c. cooperative agreement
d. loan
e. loan guarantee
f. loan insurance</td>
<td>2. Status of Federal Action:
___ a. bid/offer/application
b. initial award
c. post-award</td>
<td>3. Report Type:
___ a. initial filing
b. material change
For material change only:
year _____ quarter _____
date of last report _____</td>
</tr>
<tr>
<td>4. Name and Address of Reporting Entity:
_____ Prime _____ Subawardee
Tier_____, if known:
NA
Congressional District, if known:</td>
<td colspan="2">5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:
NA
Congressional District, if known:</td>
</tr>
<tr>
<td>6. Federal Department/Agency:</td>
<td colspan="2">7. Federal Program Name/Description:
CFDA Number, if applicable: _______</td>
</tr>
<tr>
<td>8. Federal Action Number, if known:</td>
<td colspan="2">9. Award Amount, if known: $</td>
</tr>
<tr>
<td>10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):
NA</td>
<td colspan="2">b. Individuals Performing Services (including address if different from No. 10a)(last name, first name, MI):
NA</td>
</tr>
<tr>
<td>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.</td>
<td colspan="2">Signature: ____________
Print Name: Robert ABC
Title: President
Telephone No.: (303) 275 - 1000 Date: 1/30/2006</td>
</tr>
<tr>
<td>Federal Use Only</td>
<td colspan="2">Authorized for Local Reproduction
Standard Form - LLL (Rev. 7-97)</td>
</tr>
</table>

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action. (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form; print his/her name, title, and telephone number.